UNITED NATIONS

Framework Convention on Climate Change

Distr.
GENERAL

FCCC/CP/1995/5/Add.2
17 March 1995

Original: ENGLISH

CONFERENCE OF THE PARTIES
First session
Berlin, 28 March - 7 April 1995
Item 5 (d) (iv) of the provisional agenda

# DESIGNATION OF A PERMANENT SECRETARIAT AND ARRANGEMENTS FOR ITS FUNCTIONING

**Note by the Executive Secretary**

**Addendum**

# ADOPTION OF THE PROPOSED BUDGET OF THE CONVENTION FOR THE BIENNIUM 1996-1997

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*Introduction*

1. The financial procedures for the Conference of the Parties (COP), as recommended by the Intergovernmental Negotiating Committee at its eleventh session, provide that the COP shall consider a proposed budget and shall adopt a budget by consensus prior to the commencement of the biennial financial period that it covers (see A/AC.237/91/Add.1, conclusion (k), paras. 2-4). The Committee also requested the Executive Secretary to prepare, for consideration by the Conference of the Parties at its first session (COP 1), a detailed budget for 1996-1997, taking into account the discussions of the Committee, and to circulate this to the Parties as soon as possible (A/AC.237/91/Add.1, conclusion (m)). **The proposed budget of the Convention for the biennium 1996-1997 is annexed to this note for consideration and subsequent adoption.**

2. The proposed budget has been developed using the standard outline for a United Nations budget as a model, modified where necessary to meet the needs of the COP. It has been prepared taking into account the relevant provisions of the Convention as well as the recommendations of the Committee to the COP and its other relevant decisions. **These constitute a de facto work programme for the Convention on which the proposed budget is based.** Any assumptions made as a result of the uncertainties about future activities are specified.

*Evolution from the interim secretariat to the Convention secretariat*

3. The permanent secretariat is to be built on the foundations of the interim secretariat (see A/AC.237/55, para. 118). The work of the permanent secretariat will, however, be different from that of the interim secretariat, in both its nature and its volume. The main function of the interim secretariat has been to support an intergovernmental consultation and negotiation process. This function will continue but will be supplemented by others. Activities that are programme oriented, especially in the area of communication and review of information, will be particularly important. The demands for servicing the subsidiary bodies will require a wider range of skills and experience. In addition, it is envisaged that some of the tasks previously undertaken by other parts of the United Nations will become the responsibility of the Convention secretariat (notably in the areas of conference management and administration). Finally, support to new processes may have to be provided and new specialized tasks may emerge from decisions at COP 1.

4. Budgeting for the Convention secretariat has been based on a number of assumptions about its character, namely, that the Parties want a secretariat that is:

- efficient in responding to their demands for services and equipped with up-to-date technologies and communications capacities

- international in its composition and representative of different regions and groups

- equipped with a range of expertise to enable it to serve the needs of a convention that is very wide in scope and that touches on many sectors as well as on patterns of production and consumption: a convention on sustainable development

5. The structure of the interim secretariat was designed to meet the needs and requests of the Intergovernmental Negotiating Committee. The structure of the permanent secretariat will be different, reflecting the different requirements of the post-COP 1 period. This new structure was presented to the Committee in document A/AC.237/79/Add.3, paragraphs 10-19. That document also proposed that there be a core administrative budget to finance, on an agreed and predictable basis, tasks directly related to the intergovernmental process, including the provision of substantive and organizational services and documentation. Contributions would be made to this core budget on the basis of the indicative scale to be agreed by the COP (see A/AC.237/91/Add.1, conclusion (k), para. 7 (a)). There would also be provision for other voluntary funding to finance tasks of a more operational nature that would facilitate and support action by Parties, particularly developing country Parties, in implementing the Convention at the national and regional levels.

6. The conversion from an interim to a permanent secretariat invites comparison between the aggregate staffing levels, while taking account of the factors mentioned above. Table A shows:

- the number of staff currently available (1 March 1995)
- the number of staff anticipated at the end of 1995 if the required extrabudgetary funding becomes available (see FCCC/CP/1995/5/Add.3)
- the number of staff at the beginning of 1996 (as proposed in the budget)

TABLE A. NUMBER OF STAFF BY LEVEL[a]

| | 1995 *1st quarter* | 1995 *4th quarter* | 1996 *1st quarter* |
|---|---|---|---|
| A. Professional category and above | | | |
| Head [b] | | | 1 |
| D2 | 1 | 1 | 2 |
| D1 | 4 | 6 | 5 |
| P5 | 2 | 5 | 7 |
| P4 | 4 | 4 | 5 |
| P3 | 4 | 6 | 5 |
| P2 | 4 | 5 | 4 |
| **Total (A)** | **19** | **27** | **29** |
| B. General Service category | 12 | 15 | 20 |
| **Total (B)** | **12** | **15** | **20** |
| **TOTAL (A+B)** | **31** | **42** | **49** |

[a] Includes only staff financed from the core administrative budget and equivalent for the interim secretariat. Staff financed from "other voluntary funding" and equivalent ( 1 P and 2 GS in 1995 and 4 P and 2 GS in 1996) are excluded.

[b] The level and the term of office of the head of the secretariat are to be fixed by the COP.

7. The increase in the number of senior-level staff reflects:

(a) The expanding scope of responsibilities, including review of national policies related to climate change and supporting the development of new policy initiatives;

(b) The level of autonomy of the permanent secretariat foreseen in the Committee's recommendations on the institutional linkage to the United Nations (see A/AC.237/91/Add.1, conclusion (i));

(c) The greater need for senior and middle management to build effective working relationships with several partner organizations; and

(d) The increased staff and financial resources being managed.

8. Table B shows, for the same dates, the proposed growth in staff according to the programmes of the secretariat, other than the programme for "policy-making organs", which does not have a regular staffing component. The main areas of growth relate to:

(a) The consideration of national communications, where the in-depth review process is gathering momentum;

(b) The assumed beginning of new substantive work on inventory management, assessment of methodologies, technologies and joint activities or joint implementation;

(c) The expansion of financial and technical cooperation activities to facilitate implementation of the Convention by individual Parties; and

(d) The assumption of tasks previously undertaken by other parts of the United Nations in the areas of conference management and administration.

TABLE B. NUMBER OF STAFF BY ACTIVITY [a]

| *Programme* | 1995 *1st quarter* | 1995 *4th quarter* | 1996 *1st quarter* |
|---|---|---|---|
| B. Executive direction and management | 5 | 5 | 5 |
| C. Programme of work: | | | |
| *1. Communication, assessment and review* | 8 | 13 | 15 |
| *2. Financial and technical cooperation* | 6 | 7 | 7 |
| *3. Intergovernmental and institutional support* | 11 | 14 | 19 |
| *4. Implementation and planning* | 1 | 3 | 3 |
| **TOTAL** | **31** | **42** | **49** |

[a] Includes only staff financed from the core administrative budget and equivalent for the interim secretariat. Staff financed from "other voluntary funding" and equivalent ( 1 P and 2 GS in 1995 and 4 P and 2 GS in 1996) are excluded.

9. The figures in the proposed budget are lower on a number of points than those presented to the Committee in the budget outline (A/AC.237/79/Add.3). The main reasons are:

(a) The proposed budget takes as a hypothesis that the General Assembly will accede to a request from the COP to absorb the costs of conference servicing within the United Nations programme budget, at a saving of an estimated $5 million to the Parties for the two years.[1] Such a request would be considered by the General Assembly late in 1995;

(b) It has been assumed that, as a result of the offers to host the secretariat, the budgeted cost for office space and furniture will be nil, instead of $420,000 in annual rent and a one-time purchase cost of $300,000;

(c) The contribution to the Intergovernmental Panel on Climate Change (IPCC) is calculated on a different basis, taking into account the lower level of its activity in 1996 and 1997, and is thereby reduced from $500,000 each year to approximately $310,000;

(d) The recruitment of secretariat staff to full strength has been phased in over a longer period; some grades have been revised downward and some staffing has been eliminated or shifted to "other voluntary funding". The resulting reduction in the core administrative budget staff costs, compared to the estimates in the budget outline, is 9 per cent over the two years;

(e) Similarly, all non-staff cost estimates in the budget outline have been reassessed, resulting in a 37 per cent reduction in these estimates for the two years (for the core administrative budget, excluding the contribution to the IPCC and rental/furniture as discussed in paragraph 9 (c) above); and

(f) Contributions to reduce the core administrative budget have, to the extent possible, been calculated based on certain assumptions. **These, however, do not include any contributions from a host Government, which would further offset an important portion of the budget.**

### *Context of the proposed budget*

10. The staffing tables used in the proposed budget reflect work-years of employment; this was considered to be a more relevant concept than that of fixed positions or posts for a budget that is not based on assessed contributions. The number of staff funded by the core administrative budget and that would be at work at the end of 1997 is 57 and the number financed under "other voluntary funding" would be 7. Staff costs represent approximately 78 per cent of the budget for the biennium. They have been calculated on the basis of standard figures for the Geneva duty

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[1] The $3 million per year estimate used in document A/AC.237/79/Add.3 was based on a scenario of six weeks of conference services each year -- at an estimated cost of $1 million per two-week session. The present document is based on an assumption of three two-week sessions in 1996 and two two-week sessions in 1997, with six official languages being used.

station, provided by the United Nations and included in appendix I to the proposed budget. (Different duty stations would have different staff costs. See note to appendix I.)

11. The programme support costs (for example, communications, supplies, equipment rental) have generally been grouped together rather than distributed throughout the proposed budget. They appear under the administration component of the programme for "intergovernmental and institutional support".

12. The department or Programme providing administrative services to the Convention secretariat, in the context of its institutional linkage to the United Nations, will charge for overhead costs. The amount will be subject to negotiation. In line with current practice, an overhead charge of 13 per cent has been assumed for the purposes of developing the budget estimates.

13. In accordance with the recommended financial procedures for the COP (see A/AC.237/91/Add.1, conclusion (k), para. 14), the budget provides for a working capital reserve. The purpose of the reserve is to ensure continuity of operations in the event of a temporary shortfall of cash. It is not a contingency fund or a reserve for operational activities. In the light of the indicative nature of contributions, and of the lack of any penalty clause in the event of late arrival or non-arrival of contributions, a working capital reserve will be essential to ensure the continuous functioning of the Convention process and its secretariat. The working capital reserve is to be maintained at a level to be determined from time to time by the COP by consensus. A level of 30 per cent of the net core administrative budget is proposed; this would be constituted initially by two instalments of 15 per cent of the net core administrative budget for 1996 and 1997 and adjusted as needed in the next biennium. Drawdowns from the reserve would be restored from regular contributions to the Convention budget as soon as possible.

14. The permanent secretariat comes into operation on the same date that contributions to the core administrative budget are due, that is, 1 January 1996. Unless sufficient contributions are paid in advance, initial cash-flow problems will arise. While some year-end balances from the existing trust funds may be available, their size cannot be predicted and is unlikely to be significant. Consequently, the COP may wish to consider how this financial transition can best be managed, taking into account the possible use of contributions from the host Government as a source of initial liquidity.

### *Possible action by the Conference of the Parties*

15. A number of decisions relevant to the budget for the biennium 1996-1997 are required at COP 1. These decisions will have to take into account related decisions by COP 1, including those on the financial procedures for the COP, the indicative scale of contributions (see FCCC/CP/1995/5/Add.1), and extrabudgetary funding for 1995 (see FCCC/CP/1995/5/Add.3). In this context, the Parties may wish to consider the following proposed elements of a decision on the budget of the Convention:

(a) Adoption of a budget for the biennium 1996-1997, in accordance with paragraph 4 of the recommended financial procedures for the COP (see A/AC.237/91/Add.1, conclusion (k)), on the basis of the proposal herein;

(b) A request to the General Assembly to finance from the regular programme budget of the United Nations the conference-servicing costs arising from sessions of the COP and its subsidiary bodies (see A/AC.237/91/Add.1, conclusion (n));

(c) An invitation to the Parties (taking into account paragraphs 8 and 10 of the recommended financial procedures for the COP) to pay their contributions promptly and in full on the basis of the indicative scale of contributions to be adopted by the COP;

(d) An invitation to the Parties to contribute to meeting the other voluntary funding needs for the biennium;

(e) Determination of the level of the working capital reserve and the period over which it should be constituted, in accordance with paragraph 14 of the recommended financial procedures, on the basis of the proposal herein. (See annex, paragraphs 72-74);

(f) A definition of "main appropriation line", in terms of paragraph 6 of the recommended financial procedures for the COP, as equivalent to each of the six main programmes covered by the proposed budget, and authorization to the head of the secretariat, under that same paragraph, to make transfers between such lines up to an aggregate limit of 15 per cent of the core administrative budget and not reducing any line by more than 25 per cent;

(g) Guidance on funding the Convention process in early 1996 in the event that sufficient contributions are not received to enable operations to continue; and

(h) A request to the head of the secretariat to report to the COP at its second session (COP 2) on income and budget performance and to propose any adjustments that might be needed in the core administrative budget for 1996-1997 and in other voluntary funding.

Annex

# PROPOSED BUDGET OF THE CONVENTION FOR THE BIENNIUM 1996-1997

TABLE 1. SUMMARY OF 1996-1997 REQUIREMENTS BY PROGRAMME
*(Thousands of United States dollars)*

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| **I. Programmes** | | | | |
| A. Policy-making organs[a] | 552.5 | 543.3 | 2,452.2 | 1,813.8 |
| B. Executive direction and management | 656.8 | 674.5 | - | - |
| C. Programme of work: | | | | |
| 1. Communication, assessment and review | 2,669.5 | 3,066.8 | - | - |
| 2. Financial and technical cooperation | 1,072.4 | 1,449.9 | 783.7 | 901.1 |
| 3. Intergovernmental and institutional support | 2,972.4 | 2,997.4 | 256.8 | 261.1 |
| 4. Implementation and planning | 425.3 | 441.5 | - | - |
| **Subtotal (I)** | 8,348.9 | 9,173.5 | 3,492.7 | 2,976.0 |
| **II. Overhead charge (13%)** | | | | |
| **Subtotal (II)** | 1,085.4 | 1,192.6 | 454.1 | 386.9 |
| **III. Contributions that reduce the core budget** | | | | |
| 1. Contributions from the host Government[b] | TBD | TBD | - | - |
| 2. Contributions of staff by Governments and organizations[c] | 639.0 | 334.6 | - | - |
| 3. Allotment of overhead for administration[d] | 474.1 | 487.2 | - | - |
| **Subtotal (III)** | 1,113.1 | 821.8 | - | - |
| **NET TOTAL (I+II - III)** | **8,321.2** | **9,544.2** | **3,946.8** | **3,362.9** |
| **IV. Working capital reserve[e]** | | | | |
| Contributions over 2 years (15% of net annual total) | **1,248.2** | **1,431.6** | - | - |

[a] Assuming that the General Assembly, at the request of the Conference of the Parties, agrees to cover conference-servicing costs (estimated at $1 million per two-week session using 6 languages); core administrative budget includes contribution to the IPCC; other voluntary funding includes the special voluntary fund for participation.

[b] Some offers to host the Convention secretariat include significant cash contributions to help defray secretariat costs. These would be applied to reduce the core administrative budget.

[c] Based on bilateral staffing arrangements in place and under discussion. Also assumes some support from organizations but precise figures will depend on decisions on their organizational budgets.

[d] Subject to agreement with organization providing administrative services.

[e] 30 per cent of net core administrative budget to be built up in instalments.

TABLE 2. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| *Object of expenditure* | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 6,382.1 | 7,342.9 | 701.9 | 814.0 |
| Consultants | 319.6 | 231.5 | 15.0 | 15.6 |
| Expert groups | 248.4 | 209.9 | 105.8 | 110.0 |
| Travel on official business | 404.2 | 434.9 | 42.8 | 44.4 |
| Contractual services | 140.0 | 81.2 | 175.0 | 178.2 |
| General operating expenses | 245.6 | 294.4 | - | - |
| Supplies and materials | 125.0 | 119.4 | - | - |
| Furniture and equipment | 117.0 | 90.0 | - | - |
| Grants and contributions (IPCC) | 310.6 | 310.6 | - | - |
| Other expenditures | 56.4 | 58.6 | - | - |
| Special voluntary fund for participation | - | - | 2,452.2 | 1,813.8 |
| **Subtotal** | 8,348.9 | 9,173.5 | 3,492.7 | 2,976.0 |
| Overhead charge (13%) | 1,085.4 | 1,192.6 | 454.1 | 386.9 |
| **TOTAL** [a] | **9,434.3** | **10,366.0** | **3,946.8** | **3,362.9** |

[a] Equals I + II in Table 1.

TABLE 3. SUMMARY OF STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| Head [a] | 1 | 1 | 0 | 0 |
| D2 | 2 | 2 | 0 | 0 |
| D1 | 5 | 5 | 0 | 0 |
| P5 | 7 | 7 | 1 | 1 |
| P4 | 5 | 5 | 1 | 1 |
| P3 | 5.33 | 10 | 1 | 1 |
| P2 | 4 | 4.33 | 1 | 1 |
| **Total (A)** | 29.33 | 34.33 | 4 | 4 |
| B. General Service category | 20 | 22 | 2 | 3 |
| **Total (B)** | 20 | 22 | 2 | 3 |
| **TOTAL (A+B)** | **49.33** | **56.33** | **6** | **7** |

[a] The level and the term of office of the head of the secretariat are to be fixed by the COP.

*Overview*

1. The Framework Convention on Climate Change entered into force on 21 March 1994. Article 7 of the Convention establishes a Conference of the Parties (COP) and Articles 9 and 10 establish, respectively, a Subsidiary Body for Scientific and Technological Advice (SBSTA) and a Subsidiary Body for Implementation (SBI). The secretariat is established by Article 8 which also requires the COP, at its first session (COP 1), to designate a permanent secretariat and make arrangements for its functioning. Preparations for COP 1 have been undertaken by the Intergovernmental Negotiating Committee for a Framework Convention on Climate Change which was established by General Assembly resolution 45/212. That resolution also established a secretariat to support the Committee; this was transformed by the Convention into its interim secretariat which will function as such until 31 December 1995.

2. The biennium 1996-1997 will be marked by two COP sessions, several sessions of the subsidiary bodies, and other possible events such as meetings of technical panels, workshops and sessions of any new process that may be agreed. **Priority will be given to servicing and supporting these meetings.** The other key elements of the work programme will be:

(a) Implementation of the processes for the submission and review of national communications from Annex I Parties;

(b) Implementation of the process decided by COP 2 for the submission and consideration of national communications from developing country Parties;

(c) Strengthening partnerships between the Convention institutions and other bodies, particularly the Global Environment Facility (GEF) and the IPCC;

(d) Working with partners to advance technical cooperation programmes which facilitate the implementation of the Convention, especially by developing country Parties;

(e) Improved services to Parties in the form of better information and document dissemination (including information on the budget, inventories, projects, technical cooperation activities and joint implementation), streamlined processes for funding participation, and the development of a network of national focal points; and

(f) Consolidation of the support mechanisms for the intergovernmental process and the placement of the secretariat on a sound administrative footing.

3. The structure of the secretariat is based on that proposed in Committee document A/AC.237/79/Add.3. The proposed budget includes provision for:

(a) Activities financed from a core administrative budget;

(b) Other activities financed by voluntary funds (that is, activities of an operational nature that support action by individual Parties);

(c) Financing the costs of participation in meetings from a special voluntary fund; and

(d) The constitution of a working capital reserve.

## A. POLICY-MAKING ORGANS

TABLE 4. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| *Object of expenditure* | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 188.7 | 177.4 | - | - |
| General operating expenses | 53.2 | 55.3 | - | - |
| Grants and contributions | 310.6 | 310.6 | - | - |
| Special voluntary fund for participation | - | - | 2,452.2 | 1,813.8 |
| **TOTAL** | **552.5** | **543.3** | **2,452.2** | **1,813.8** |

4. The COP oversees the implementation of the Convention and provides overall policy direction to the secretariat; it meets annually. The SBSTA and the SBI carry out programmes of work in support of the COP to which they report and make recommendations. All these bodies will meet at the headquarters of the secretariat, unless decided otherwise. **No budgetary provision has been made for meetings away from the secretariat headquarters**. Any such meetings would be at the invitation of the host country, which would pay the cost differential. With regard to sessions of the Convention institutions, it has been assumed that:

(a) The sessions of the COP and the subsidiary bodies would together require four weeks of meeting time (two two-week periods) in each year (with the COP normally meeting for one week in July and the subsidiary bodies meeting both in December and during the week before the COP. In 1996 an additional session of each of the subsidiary bodies will be held in February, resulting in three two-week periods in that year);

(b) Each of the sessions would comprise two concurrent meetings;

(c) Any other meetings requiring conference services (for example, on follow-up to the review of the adequacy of Article 4.2(a) and (b) or on Article 13) would be accommodated within the budgeted meeting time; and

(d) Meetings of intergovernmental technical panels and workshops would not require conference-servicing (translation, interpretation).

*Resource requirements (at current rates)*

5. It has been envisaged, for the purpose of developing these budget estimates, that the COP will request the General Assembly to absorb within the programme budget of the United Nations the conference-servicing costs of the Convention institutions and that the General Assembly will accept this request. **If this is not the case, the core administrative budget will need to be increased by an estimated $3 million in 1996 ($3.39 million including overhead) and $2 million in 1997 ($2.26 million including overhead).** Such conference-servicing costs would be reduced by approximately 40-50 per cent if services were provided in three rather than six languages.

*Staff costs*

6. Amounts of $188,700 in 1996 and $177,400 in 1997 are requested to cover the staff costs associated with policy-making organs:

(a) Amounts of $162,700 in 1996 and $150,400 in 1997 are requested to cover temporary assistance requirements for an editor, technical secretariat staff and secretaries/ assistants for sessions of the COP and, to a limited extent, for the subsidiary bodies; and

(b) Amounts of $26,000 in 1996 and $27,000 in 1997 are requested to cover overtime for General Service staff arising from the sessions.

7. Expenditures under this object are not included in the conference services that would be provided by the United Nations. Most of the technical secretariat services referred to in paragraph 6 (a) above were provided in the past by the Department of Policy Coordination and Sustainable Development (DPCSD) but these are no longer available. Secretariat staff may assume some of these functions, particularly for the subsidiary bodies. Nevertheless, a conference coordinator is required and that position is reflected in the intergovernmental and institutional support component of the proposed budget. In addition, temporary assistance will need to be engaged for conferences, as in the past. The secretariat will also continue to engage temporary assistance to edit its documents.

*General operating expenses*

8. Amounts of $53,200 in 1996 and $55,300 in 1997 are requested to cover general operating expenses related to sessions of the COP and the subsidiary bodies, as follows:

(a) Amounts of $12,200 in 1996 and $12,700 in 1997 to cover the costs of communications (such as faxes, couriers) directly associated with sessions of the COP and the subsidiary bodies;

(b) Amounts of $20,000 in 1996 and $20,800 in 1997 to cover, during each year, one reception at the COP session and one reception during a session of a subsidiary body, as well as hospitality at the time of Bureau meetings;

(c) Amounts of $20,000 in 1996 and $20,800 in 1997 to cover the short-term rental of furniture, photocopiers and computer equipment during sessions; and

(d) Amounts of $1,000 in 1996 and $1,000 in 1997 to cover other miscellaneous charges arising out of the sessions.

*Grants and contributions*

9. Amounts of $310,600 in 1996 and $310,600 in 1997 are requested to enable the COP to make contributions to the IPCC. These funds will help to defray the costs of inputs to the Convention which the IPCC would agree to provide in response to requests from the COP. This amount will vary from year to year depending on the requests made; it would be considerably higher during the preparation of scientific assessments. For planning purposes, it has been assumed that the Convention contribution would constitute 10 per cent of the IPCC budget in both 1996 and 1997. Actual amounts would have to reflect the services requested. Contributions to the IPCC will be payable only after sufficient contributions have been received to cover the other items in the core administrative budget in any given year.

*Special voluntary fund for participation*

10. The recommended financial procedures of the COP establish a special voluntary fund for participation. Following past practice for the Committee, it will support the participation of one delegate from each eligible Party in the sessions of the COP and the subsidiary bodies (assuming the participation of 110 delegates for each two-week meeting period) and in meetings of the bureaux of these bodies. It would also provide funding to support participation in meetings of technical panels (assuming the participation of 10 experts in each of two technical panels meeting twice each year). Amounts of $2,452,200 in 1996 and $1,813,800 in 1997 are requested to cover this requirement. Air fares below standard costs were used to develop the estimates. The 1997 estimate includes a 4 per cent increase to reflect inflation. If it were decided to finance participation by a second delegate from least developed and small island developing country Parties, the additional cost would be approximately $225,000 (plus overhead) per two-week period.

11. In all cases, funding would be for the participation of representatives from eligible Parties only. Currently, Parties to the Convention are eligible for funding if their per capita gross domestic product was $5,000 or less in 1991.

## B. EXECUTIVE DIRECTION AND MANAGEMENT

TABLE 5. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| *Object of expenditure* | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 606.8 | 622.5 | - | - |
| Travel on official business | 50.0 | 52.0 | - | - |
| **TOTAL** | **656.8** | **674.5** | - | - |

TABLE 6. STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| Head | 1 | 1 | - | - |
| P4 | 1 | 1 | - | - |
| **Total (A)** | **2** | **2** | - | - |
| B. General Service category | 3 | 3 | - | - |
| **Total (B)** | **3** | **3** | - | - |
| **TOTAL (A+B)** | **5** | **5** | - | - |

12. The head of the secretariat provides executive direction and overall coordination to the secretariat and policy advice to the COP and its subsidiary bodies, paying particular attention in the latter context to policy issues arising in the SBI and any process to follow-up on the review of the adequacy of Article 4.2(a) and (b). The head is accountable directly to the COP for the implementation of its policies and programme of work and for the use of moneys contributed by the Parties. Within the framework of the institutional linkage of the Convention secretariat to the United Nations, the head of the secretariat is fully responsible to the Secretary-General as the Chief Administrative Officer of the Organization, including for the observance of staff and financial regulations and rules. It is expected that the head will also exercise delegated authority for financial and personnel management, under the administrative support arrangement to be proposed by the Secretary-General. The head is generally responsible for ensuring effective relations with partner agencies, departments and programmes and for mobilizing resources and support from them. The head will also carry out representational functions, as appropriate, on behalf of the Convention. The head is supported by a small staff.

*Resource requirements (at current rates)*

*Staff costs*

13. Amounts of $606,800 in 1996 and $622,500 in 1997 are requested to cover the salaries and common staff costs of the head of the secretariat and the staff of the office. Details on the staff functions and grades are found in appendix II to this document.

*Travel on official business*

14. Amounts of $50,000 in 1996 and $52,000 in 1997 are requested to enable the head to attend relevant meetings, including travel to United Nations headquarters, intergovernmental meetings, consultations with Governments in various regions, and to accept invitations to participate in a limited number of international conferences.

## C. PROGRAMME OF WORK

### 1. Communication, assessment and review

TABLE 7. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| *Object of expenditure* | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 1,998.1 | 2,509.7 | - | - |
| Consultants | 254.6 | 163.9 | - | - |
| Expert groups | 248.4 | 209.9 | - | - |
| Travel on official business | 168.4 | 183.3 | - | - |
| **TOTAL** | **2,669.5** | **3,066.8** | **-** | **-** |

TABLE 8. STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| D2 | 1 | 1 | - | - |
| D1 | 2 | 2 | - | - |
| P5 | 2 | 2 | - | - |
| P4 | 3 | 3 | - | - |
| P3 | 1.33 | 4 | - | - |
| P2 | 1 | 1.33 | - | - |
| **Total (A)** | **10.33** | **13.33** | - | - |
| B. General Service category | **5** | **6** | - | - |
| **Total (B)** | **5** | **6** | - | - |
| **TOTAL (A+B)** | **15.33** | **19.33** | - | - |

15. Communication, assessment and review activities focus on:

(a) National communications by Annex I Parties;

(b) Data from communications, including inventory data;

(c) National communications by non-Annex I Parties;

(d) Scientific outreach and the inflow of scientific and technical information;

(e) Assessment and development of methodologies;

(f) Assessment of technologies and exchange of technological information; and

(g) A multilateral consultative process under Article 13.

16. This division will be generally self-contained and capable of working with relative autonomy, in accordance with intergovernmentally-agreed mandates and within guidelines set by the head of the secretariat. Its main function will be to support the work of the COP and the SBSTA on scientific, technical, technological and methodological issues and with regard to national communications. It will be the secretariat's principal interlocutor with the IPCC, with which it will strengthen collaborative relations. The division also needs to include capacity to support the exploration of new concepts and policy approaches by the COP and the subsidiary bodies.

17. The division will comprise five sub-programmes as laid out in table 9 and summarized below.

TABLE 9. RESOURCE DISTRIBUTION BY SUB-PROGRAMME

| | Core administrative budget | | | |
|---|---|---|---|---|
| | Thousands US$ | | Staff | |
| *Sub-programme* | 1996 | 1997 | 1996 | 1997 |
| A. Direction and management | 407.9 | 421.6 | 3 | 3 |
| B. Communication and review | 1,313.8 | 1,417.1 | 6.33 | 8 |
| C. Scientific outreach | 282.3 | 319.4 | 2 | 2.33 |
| D. Methodologies and technologies | 310.8 | 446.8 | 2 | 3 |
| E. Policy development | 354.7 | 461.9 | 2 | 3 |
| **TOTAL** | **2,669.5** | **3,066.8** | **15.33** | **19.33** |

18. The *direction and management* sub-programme will manage the communication, assessment and review activities of the secretariat and serve as coordinator for the SBSTA. It will assist the SBSTA in drafting overview documents, such as that body's proposals to COP 2 on its longer-term activities and organizational arrangements, including adjustments to the functions, allocation of work, schedule and periodicity of meetings, as requested in recommendation 8.[2] It will also represent the secretariat at IPCC meetings, as appropriate.

19. The *communication and review* sub-programme will undertake the process for the consideration of national communications, including in-depth reviews of communications from Annex I Parties and whatever process is agreed for communications from non-Annex I Parties (see recommendations 3, 4 and 5). This is a significant new field of activity for the secretariat and one that is labour and resource intensive. The tasks to be undertaken in the biennium include:

(a) Completing the review and possible revision of the guidelines for the preparation of communications from Annex I Parties, including work with regard to the use of country-specific adjustments in national communications;

(b) Completing the first cycle of in-depth reviews of communications from Annex I Parties, with up to 15 reviews in 1996, including the organization of reviews (possibly including country visits), liaison with Governments, the selection of review teams, and assistance in drafting review reports;

(c) The preparation of a second compilation and synthesis of national communications from Annex I Parties for consideration at COP 2;

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[2] References to "recommendations" are to the recommendations of the Intergovernmental Negotiating Committee to the COP; see document A/AC.237/91/Add.1.

(d) Coordinating the in-depth reviews of second communications from Annex I Parties. (It has been assumed that the in-depth review process will continue, although it is also possible that some other expert process may be adopted);

(e) Coordinating whatever process is agreed for the consideration of communications from non-Annex I Parties, beginning in 1997; and

(f) Compiling national inventory data from Parties, including data received in 1996 and 1997, into accessible databases, including arrangements for dissemination, and compiling other databases of information from national communications (drawing upon the database officer proposed for the information system (see appendix II, paragraph 6 (g)).

20. The *scientific outreach* sub-programme will focus on supporting the SBSTA in carrying out three of its functions (see recommendation 8):

(a) Assessing the state of scientific knowledge by converting information into appropriate forms for use by the secretariat and the SBSTA and compiling and synthesizing information on the global situation;

(b) Advising on scientific programmes and international cooperation in research and education, training and public awareness; and

(c) Responding to scientific and technical questions from the COP, including questions on the impacts of climate change and on adaptation.

Within the biennium, priority will be given to processing the second assessment report of the IPCC and any other relevant information, including documentation for COP 2, and on completing (for COP 2), and then implementing, the scientific and technical elements of the SBSTA's proposals on its longer-term activities. This group will also provide scientific analysis to the secretariat and serve as the link between the secretariat and international scientific programmes and organizations, including the IPCC, the World Meteorological Organization (WMO) and the World Climate Programme.

21. The *methodologies and technologies* sub-programme will focus on supporting the work of the SBSTA on a number of other tasks (see recommendations 7 and 8):

(a) Methodological issues arising from the review of communications, including a report to COP 2;

(b) Advice to the COP on the development, improvement and use of comparable methodologies for inventories, projections, evaluating the effects of measures, impacts, sensitivity analysis and assessing adaptation responses, including a report to COP 2;

(c) The development of the requested work programme and timetable for longer-term activities, including a report to COP 2;

(d) The allocation and control of emissions from international aviation and marine transport, including the development of proposals to the COP;

(e) Identifying technologies and know-how and advising on the promotion of technology development and dissemination, including the promotion of cooperation and shared experience, as well as implementing any decisions arising from COP 1. (CC:INFO[3] could be used for the dissemination of information; see paragraph 33 below); and

(f) Responding to methodological and technological questions from the COP.

It will be necessary to enhance the secretariat's limited capacity to develop and assess methodologies, especially for inventories where the IPCC and the Organisation for Economic Co-operation and Development (OECD) are reducing their level of activity. In addition, a significant new area of work on technology identification may emerge. It may also be necessary to support the work of technical panels and to coordinate workshops.

22. The *policy development* sub-programme will focus on the exploration of new concepts and policy approaches and on specific politically-sensitive issues relating to the implementation of the Convention, including Article 4, paragraphs 6-10. Within the biennium, activity will focus on:

(a) The development of guidelines for the preparation of communications from non-Annex I Parties and the elaboration of the process for considering these communications; and

(b) The design of a multilateral consultative process for the resolution of questions regarding implementation (see Article 13 and A/AC.237/91/Add.1, conclusion (p)).

*Resource requirements (at current rates)*

*Staff costs*

23. Amounts of $1,998,100 in 1996 and $2,509,700 in 1997 are requested to cover the salaries and common staff costs of staff associated with communication, assessment and review. Details on the staff functions and grades are found in appendix II to this document.

*Consultants*

24. Amounts of $254,600 in 1996 and $163,900 in 1997 are requested to meet the requirement for expert advice on issues relating to:

- the consideration of national communications, as well as support to some in-depth reviews (including travel costs of experts)

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[3] Information exchange programme carried out jointly by the interim secretariat and the United Nations Environment Programme (UNEP).

- assistance in preparing the compilation and synthesis, and other specialized documents (as well as a report to the COP on relevant information from bodies and organizations other than the IPCC, including on adaptation)

- the development of databases

- the assessment of methodologies

- technology identification and advice in the preparation of documents. (Advice on technology will be particularly important in view of the fact that it is a new area of operational activity and may require design and conceptual work.)

- policy development with respect to Article 4, paragraphs 6-10

*Expert groups*

25. Amounts of $248,400 in 1996 and $209,900 in 1997 are requested to cover the costs of experts participating in in-depth reviews and in preparing the second compilation and synthesis.

*Travel on official business*

26. Amounts of $168,400 in 1996 and $183,300 in 1997 are requested to cover travel expenses, including travel to United Nations headquarters and to represent the secretariat at meetings, workshops, conferences and consultations with Governments and organizations. A significant proportion of these funds is required to support the in-depth review process.

## 2. Financial and technical cooperation

TABLE 10. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| *Object of expenditure* | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 966.0 | 1,333.2 | 540.1 | 647.9 |
| Consultants | 10.0 | 10.4 | 15.0 | 15.6 |
| Expert groups | - | - | 105.8 | 110.0 |
| Travel on official business | 96.4 | 106.3 | 42.8 | 44.4 |
| Contractual services | - | - | 80.0 | 83.2 |
| **TOTAL** | **1,072.4** | **1,449.9** | **783.7** | **901.1** |

TABLE 11. STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| D2 | 1 | 1 | 0 | 0 |
| D1 | 1 | 1 | 0 | 0 |
| P5 | 2 | 2 | 0 | 0 |
| P4 | 0 | 0 | 1 | 1 |
| P3 | 0 | 2 | 1 | 1 |
| P2 | 1 | 1 | 1 | 1 |
| **Total (A)** | **5** | **7** | **3** | **3** |
| B. General Service category | 2 | 3 | 2 | 3 |
| **Total (B)** | **2** | **3** | **2** | **3** |
| **TOTAL (A+B)** | **7** | **10** | **5** | **6** |

27. Financial and technical cooperation activities will focus on:

(a) The functioning of the financial mechanism, including the provision of support and advice to the COP, directly and through the SBI, in:

- determining and conveying revised or additional guidance to the operating entity or entities

- developing the modalities and arrangements under Article 11.3

- reviewing the reports of the operating entity or entities

- determining the funding necessary and available for the implementation of the Convention

- conveying guidance to the financial mechanism, in the context of the accountability of the operating entity or entities

(This task will be facilitated by cooperation with the secretariat and the implementing agencies of the GEF through, inter alia, participation in the GEF Operations Committee (GEFOP));

(b) Facilitating the provision of technical and financial support to Parties, particularly developing country Parties, to implement the Convention and to enhance their ability to contribute to Convention processes through activities within the CC:COPE[4] framework, including activities such as CC:INFO and CC:TRAIN[5] funded from voluntary contributions and carried out in cooperation with other secretariats, and

(c) Implementing any COP decisions on cooperative activities, such as joint implementation, joint activities and the implementation of Article 4.5 relating to access to environmentally-sound technologies and technological cooperation, including any decision on a pilot phase.

28 This division will be generally self-contained and capable of working with relative autonomy, in accordance with intergovernmentally-agreed mandates and within guidelines set by the head of the secretariat. The division needs to include capacity to support the exploration of new concepts and policy approaches by the COP and the subsidiary bodies, notably with regard to cooperative activities (as indicated in paragraph 27 (c) above). It will be the secretariat's principal interlocutor with the GEF, with which it will strengthen collaborative relations.

29. The division will comprise four sub-programmes as laid out in table 12 and summarized below.

TABLE 12. RESOURCE DISTRIBUTION BY SUB-PROGRAMME

| | Core administrative budget | | | | Other voluntary funding | | | |
|---|---|---|---|---|---|---|---|---|
| | Thousands US$ | | Staff | | Thousands US$ | | Staff | |
| *Sub-programme* | 1996 | 1997 | 1996 | 1997 | 1996 | 1997 | 1996 | 1997 |
| A. Direction and management | 314.4 | 325.2 | 2 | 2 | - | - | 0 | 0 |
| B. Financial mechanism | 384.4 | 523.4 | 3 | 4 | - | - | 0 | 0 |
| C. Facilitation of T/F support [a] | 188.0 | 196.7 | 1 | 1 | 727.9 | 843.1 | 5 | 6 |
| D. Cooperative activities | 185.6 | 404.6 | 1 | 3 | 55.8 | 58.0 | 0 | 0 |
| **TOTAL** | **1,072.4** | **1,449.9** | **7** | **10** | **783.7** | **901.1** | **5** | **6** |

[a] Technical and financial support

30. The *direction and management* sub-programme will manage the financial and technical cooperation activities of the secretariat, serve as the principal point of contact with the GEF and represent the secretariat at meetings of the GEF Council and Assembly and GEFOP, and will assume responsibility for developing and guiding any work on cooperative activities.

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[4] Climate Convention cooperation programme.

[5] Training programme carried out jointly by the interim secretariat and the United Nations Insitute for Training and Research (UNITAR).

31. The *financial mechanism* sub-programme will focus on supporting the COP and the subsidiary bodies in their responsibilities vis-à-vis the financial mechanism and in building solid cooperative relations with the GEF secretariat. It will:

(a) Continue to work with the GEF secretariat in 1996, pursuant to consideration by the SBI of progress achieved, on draft arrangements between the COP and the GEF, as the interim operating entity, for consideration by COP 2 (see recommendation 10) and subsequently on underpinning relations between Convention bodies and the GEF;

(b) Support the work of the COP and the SBI, relating to the consideration of the reports of the interim operating entity in 1996 and 1997 and any preparations for the review of the financial mechanism in 1998 (see recommendation 8);

(c) Support the development of advice by the SBI on policies, programme priorities and eligibility criteria related to the financial mechanism and on transfer of technology (see recommendation 8), including any follow-up on the initial guidance provided and any consideration of the GEF's climate change strategy and its implementation;

(d) Support any work by the COP and by the SBSTA on methodologies relating to agreed full incremental costs (see recommendations 8 and 11);

(e) Support the COP in its efforts to agree with the interim operating entity on the funding necessary and available for the implementation of the Convention (Article 11.3(d)) in the context of any process to replenish the GEF in 1997;

(f) Participate in GEFOP, and review climate change project documents with respect to conformity with guidance from the COP; and

(g) Collect information from multilateral and regional financial institutions on activities (recommendation 11) and report to the COP.

32. The *facilitation* sub-programme will, in accordance with Article 8.2, focus on facilitating the coordinated and timely provision of technical and financial support for Parties to implement the Convention through activities within the CC:COPE framework, including activities funded from voluntary contributions and in cooperation with other organizations, including the GEF secretariat. In this context, it will:

(a) Oversee and coordinate the activities of CC:INFO and CC:TRAIN to ensure synergy and efficiency in outreach and conformity with relevant decisions of the COP. (The CC:TRAIN component will be funded entirely outside the Convention budget);

(b) Promote the exchange of project information and experience among countries and agencies leading to improvements in the development of projects, enhanced coordination among agencies, the elaboration of guidelines on project development, and the identification of gaps in

coverage of countries as well as in substantive areas. The vehicle for this activity is the CC:COPE consultative mechanism (see A/AC.237/90/Add.3); and

(c) Contribute to the review of climate change project documents and to participation in GEFOP.

33. Within the *facilitation* sub-programme, but funded entirely from other voluntary contributions, the CC:INFO sub-programme will be expanded:

- to deal with the growing amount of information and demands upon the programme
- to facilitate the matching of demand for and supply of resources to undertake activities related to climate change, particularly enabling activities in the initial period
- to improve the capacities of the programmes to disseminate information electronically and conventionally and to advise Governments on compatible dissemination processes at the national level

The CC:INFO database will be available on-line (for example, through the Internet) and on diskettes. An annual CC:INFO report, plus updates, will also be published. (The dissemination of technological information could be done through CC:INFO; see paragraph 21 (e) above.)

34. The *cooperative activities* sub-programme has been included on the assumption that the COP will adopt decisions on joint activities or joint implementation that will require implementation. Similarly, the COP may launch specific activities under Article 4.5. Any work on cooperative activities is assumed to be in direct support of the Convention process and therefore to be in the core administrative budget.

*Resource requirements (at current rates)*
*Core administrative budget*

*Staff costs*

35. Amounts of $966,000 in 1996 and $1,333,200 in 1997 are requested to cover the salaries and common staff costs of staff associated with financial and technical cooperation. Details on the staff functions and grades are found in appendix II to this document.

*Consultants*

36. Amounts of $10,000 in 1996 and $10,400 in 1997 are requested to meet the requirement for expert advice on issues relating to the financial mechanism, in particular the determination of funding needs, strategic and conceptual issues, and in implementing any COP decisions on cooperative activities. In view of the complex nature of the latter issues, expert advice will be needed, particularly on conceptual and process development and in preparing documents.

*Travel on official business*

37. Amounts of $96,400 in 1996 and $106,300 in 1997 are requested to cover travel expenses, including travel to United Nations headquarters, the GEF Council and Assembly and, as needed, to GEFOP meetings, for consultations with partner and collaborating agencies, and to represent the secretariat at meetings, conferences and consultations with Governments (especially in developing countries), bilateral donors and multilateral development banks.

*Resource requirements (at current rates)*
*Other voluntary funding*

*Staff costs*

38. Contributions to other voluntary funding of $540,100 in 1996 and $647,900 in 1997 are requested to cover the salaries and common staff costs of staff associated with CC:INFO. Details on staff functions and grades are found in appendix II to this document.

*Consultants*

39. Contributions to other voluntary funding of $15,000 in 1996 and $15,600 in 1997 are requested to meet the requirement for expert advice on converting the presentational format of CC:INFO data for on-line electronic access (through the Internet) and related matters.

*Expert groups*

40. Contributions to other voluntary funding of $105,800 in 1996 and $110,000 in 1997 are requested to cover the cost of:

- the consultative mechanism on exchanging project information, mainly to cover participation from developing countries

- informal consultations on cooperative activities

*Travel on official business*

41. Contributions to other voluntary funding of $42,800 in 1996 and $44,400 in 1997 are requested to cover the travel needs relating to gathering and exchanging data for CC:INFO.

*Contractual services*

42. Contributions to other voluntary funding of $80,000 in 1996 and $83,200 in 1997 are requested to cover the cost of provision of CC:INFO information on electronic media, and the cost of printing and disseminating yearly CC:INFO reports (and updates).

## 3. Intergovernmental and institutional support

TABLE 13. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| *Object of expenditure* | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 2,238.8 | 2,302.9 | 161.8 | 166.1 |
| Consultants | 35.0 | 36.4 | - | - |
| Expert groups | - | - | - | - |
| Travel on official business | 67.8 | 69.8 | - | - |
| Contractual services | 140.0 | 81.2 | 95.0 | 95.0 |
| General operating expenses | 192.4 | 239.1 | - | - |
| Supplies and materials | 125.0 | 119.4 | - | - |
| Furniture and equipment | 117.0 | 90.0 | - | - |
| Grants and contributions | - | - | - | - |
| Other expenditures | 56.4 | 58.6 | - | - |
| **TOTAL** | **2,972.4** | **2,997.4** | **256.8** | **261.1** |

TABLE 14. STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| D1 | 1 | 1 | 0 | 0 |
| P5 | 3 | 3 | 1 | 1 |
| P4 | 1 | 1 | 0 | 0 |
| P3 | 3 | 3 | 0 | 0 |
| P2 | 2 | 2 | 0 | 0 |
| **Total (A)** | **10** | **10** | **1** | **1** |
| B. General Service category | 9 | 9 | 0 | 0 |
| **Total (B)** | **9** | **9** | **0** | **0** |
| **TOTAL (A+B)** | **19** | **19** | **1** | **1** |

43. The cluster of services to the intergovernmental processes and to the operation of the secretariat involves a multiplicity of tasks, each with linkages to other services and programmes within the United Nations. These include:

- External relations (with Governments, the United Nations system, intergovernmental and non-governmental organizations), including the development of a network of national focal points

- Specialized legal advice on the Convention and related general legal advice

- Conference and meeting management

- Information services, including electronic systems, databases and a library

- Administration of the Convention secretariat and management of trust funds

44. These activities are designed to promote the smooth functioning of the Convention's intergovernmental processes, to respond directly to the needs of delegations, observers and the public and to enhance the efficiency and effectiveness of the secretariat. There are many factors in common among these activities; they are grouped under common management to increase productivity by providing versatility and flexibility in the use of staff and other resources. Of particular importance is the information system that, by its nature, is resource intensive and needs to be managed in such a way as to respond to different demands from other components of the secretariat (notably communication, assessment and review and CC:INFO) and to provide a useful service to delegations and other users. Similarly, the programme support costs (for example, communications, supplies, equipment rental) of the Convention are included under this programme rather than distributed across the proposed budget.

45. The service will comprise four sub-programmes as laid out in table 15 and summarized below.

TABLE 15. RESOURCE DISTRIBUTION BY SUB-PROGRAMME

| | Core administrative budget | | | | Other voluntary funding | | | |
|---|---|---|---|---|---|---|---|---|
| | Thousands US$ | | Staff | | Thousands US$ | | Staff | |
| *Sub-programme* | 1996 | 1997 | 1996 | 1997 | 1996 | 1997 | 1996 | 1997 |
| A. Direction and management | 458.5 | 473.9 | 3 | 3 | - | - | 0 | 0 |
| B. Conference management and external relations | 577.5 | 592.9 | 5 | 5 | - | - | 0 | 0 |
| C. Information system | 1,027.3 | 961.5 | 7 | 7 | 256.8 | 261.1 | 1 | 1 |
| D. Administration | 909.1 | 969.1 | 4 | 4 | - | - | 0 | 0 |
| **TOTAL** | **2,972.4** | **2,997.4** | **19** | **19** | **256.8** | **261.1** | **1** | **1** |

46. The *direction and management* sub-programme will manage the intergovernmental and institutional support activities, including overseeing the information system and the administrative unit, and provide legal advice on the Convention. It will have overall responsibility for the network of national focal points and will manage inter-agency relations, including serving as the secretariat focal point for participation in processes led by DPCSD to follow-up on the

United Nations Conference on Environment and Development. It will require high-level contacts and negotiations with Governments, United Nations programmes and departments and international organizations, including the negotiation of host country agreements with Governments hosting sessions of the COP.

47. The *conference management and external relations* sub-programme will have two main orientations:

(a) Ensuring the smooth operation of the Convention's intergovernmental processes, especially of the meetings of the COP and its subsidiary bodies, including arrangements for meeting facilities, document translation and reproduction, registration and participation of delegates and observers (including non-governmental organizations), accreditation of journalists, conference services, funding for participation of delegates, and technical secretariat and support staff; and

(b) Maintaining a network of national focal points for the Convention and responding to requests for information from delegations, missions and observers.

48. The *information system* sub-programme is a vital part of the secretariat's strategy to be efficient in its work, to be readily accessible to delegations, observers and the interested public, to manage and store large amounts of data submitted to the secretariat and to make data and information available in electronic and other "user-friendly" forms. It is a particularly important base for the work on review of national communications and for CC:INFO. The information system is composed of a number of modules that provide information to the secretariat and to Governments, organizations and the public; these are:

(a) The computer hardware and software necessary for the day-to-day operation of the secretariat including document preparation, data and information management, financial reporting, electronic mail, and the archiving of all this information in ways that make it accessible to users now and in the future. This includes personal computers and peripherals for staff, a local area network, a number of databases on database servers, as well as communications facilities allowing electronic mail and access to the Internet;

(b) Computer facilities that can be transported to meeting sites of the COP and its subsidiary bodies to ensure data processing and electronic communications facilities;

(c) Information outreach activities, including specialized and public information, serving as the main point of contact with the UNEP/WMO Information Unit on Climate Change (IUCC) and overseeing publication of the *Bulletin*. (It has been assumed that the public information function will continue to be provided by the IUCC and that the post of a public information officer will not be required by the secretariat in the 1996-1997 biennium.); and

(d) The library, a joint operation also supporting IUCC, which serves as the archives of the Intergovernmental Negotiating Committee, the COP and the subsidiary bodies and includes a collection of documentation relevant to policy-making on climate change, reference materials,

and bibliographic search facilities accessible to delegations and the public. It is also the secretariat focal point for responding to enquiries for documents.

49. The following results are expected in 1996 and 1997:

(a) A secretariat that can efficiently serve Governments through state-of-the-art data processing and communications facilities at its offices and at Convention meetings, and that will provide relevant training in the use of the hardware and software;

(b) Provision of free data processing and electronic communications facilities to delegates at meetings of the COP and its subsidiary bodies, in cooperation with the Association of Progressive Communicators;

(c) Ongoing provision of information from the secretariat databases on diskettes and through on-line information systems (World Wide Web on the Internet), as well in printed forms, including directories of participants for meetings of the COP and subsidiary bodies, bibliographic information from the library, information on the availability of resources, and information on activities in countries on climate change (CC:INFO); and

(d) The opening of the library to researchers and other users from the public.

50. In addition, but funded entirely from other voluntary funding, the "Climate Convention Archives" will be issued on CD-ROM, with an accompanying "Climate Convention Handbook". The former will contain all official documents of the Committee and the COP, as well as other relevant documents and databases, such as a bibliographic list, CC:INFO information, and the full texts of national communications. The CD-ROM will provide a unique opportunity to disseminate widely information from the national communications, at a comparatively low cost, together with other Convention documents. The Handbook will contain a selection of key documents, and COP decisions, as well as other relevant information to be used by Governments. Both will be updated annually, subject to the availability of funding.

51. The *administration* sub-programme will carry out, or provide support for, functions resulting from the delegated responsibilities of the head of the Convention secretariat under the administrative support arrangement to be proposed by the Secretary-General. These will include functions in support of the head of the secretariat relating to certain aspects of personnel management and functions relating to financial management (including the certifying functions of the secretariat) and procurement of goods and services. The unit will also be the focal point for budget preparation and will prepare reports on financial matters for the COP. This arrangement is expected to increase efficiency by bringing the secretariat into a direct relationship with the primary source of administrative services and will not duplicate those services. The new or improved outputs expected from this arrangement in the biennium include:

(a) Greater efficiency in obtaining staff and consultant services, supplies and equipment, and in managing financial support for participation in Convention bodies;

(b) Better accountability for the use of contributions and the provision of regular financial reports to the COP; and

(c) Improvements in classification of staff functions, performance assessment and career development.

The programme support costs of the Convention are also grouped together under this sub-programme rather than distributed throughout the proposed budget.

*Resource requirements (at current rates)*
*Core administrative budget*

*Staff costs*

52. Amounts of $2,238,800 in 1996 and $2,302,900 in 1997 are requested to cover the staff costs of the intergovernmental and institutional support services:

(a) Amounts of $2,173,400 in 1996 and $2,233,600 in 1997 are requested to cover the salaries and common staff costs of the staff associated with intergovernmental and institutional support services. Details of staff functions and grades are found in appendix II to this document;

(b) Amounts of $54,200 in 1996 and $56,400 in 1997 are requested to cover the cost of all temporary assistance for the secretariat not arising directly from sessions of the COP and the subsidiary bodies. Such temporary assistance would arise from priority or urgent tasks that must be finished by a fixed date, such as the preparation of the second compilation and synthesis of national communications. Temporary assistance funds also cover the costs associated with the replacement of staff on sick leave and maternity leave; and

(c) Amounts of $11,200 in 1996 and $12,900 in 1997 are requested to cover the cost of all secretariat overtime not arising during sessions of the COP and the subsidiary bodies. Such overtime would arise from priority or urgent tasks that must be finished by a fixed date, such as the preparation of the second compilation and synthesis of national communications.

*Consultants*

53. Amounts of $35,000 in 1996 and $36,400 in 1997 are requested to cover the requirements for specialized advice on matters relating to:

- programming and database applications, particularly for advanced applications not within the capacities of secretariat staff (for example, development of information management software for the Convention CD-ROM, creating system and software-independent electronic archives of the Convention, and so forth)

- the setting up of administrative systems such as those for financial reporting, procurement and staff classification, evaluation and promotion

*Travel on official business*

54. Amounts of $67,800 in 1996 and $69,800 in 1997 are requested to cover travel expenses, including travel to United Nations headquarters and to represent the secretariat at meetings, conferences and consultations.

*Contractual services*

55. Amounts of $140,000 in 1996 and $81,200 in 1997 are requested to cover the costs of all secretariat contractual services, except for those arising from sessions of the COP and the subsidiary bodies and CC:INFO. This includes a limited amount of outside printing, mainly relating to public information material, the binding of library document collections and fees for computer software licences.

56. The software licences include costs for one-time purchases, as well as updates. "General" software is used by all staff; software licences must be purchased for each user. For each additional user, the total burden is approximately $2,000, including licences for Windows 95, WordPerfect, cc:Mail, Organizer, and some utilities. The amount budgeted ($50,000 in 1996 and $25,000 in 1997) includes needs for new staff. "Specialized" software is used to run the local area network, the databases, and communications facilities of the secretariat. While this is not being used by all staff, it costs more than general software. In particular, two special packages are to be purchased in 1996-1997, one for an advanced database package, such as MS-SQL or Cybase ($30,000 in 1996) and a networked groupware package, such as Lotus Notes ($30,000 in 1996). Following initial investment, updates and supplier support will be required ($25,000 in 1997).

*General operating expenses*

57. Amounts of $192,400 in 1996 and $239,100 in 1997 are requested to cover the following general operating expenses of the secretariat:

(a) Amounts of $140,900 in 1996 and $166,000 in 1997 are requested to cover the cost of communications, including telephone and fax charges, postage and courier services (excluding costs arising directly from sessions of the COP). These amounts reflect high fax costs owing to the number of Parties and the secretariat's efforts to provide information to them, including information on matters relating to the funding of participation and the advance distribution of documents. It is anticipated that increased use will have to be made of courier services for deliveries to some countries and for lengthy and complex documents that cannot be sent by fax or e-mail. Increases also result from the increasing level of activity and data communication charges;

(b) Amounts of $31,500 in 1996 and $52,300 in 1997 are requested to cover the rental of equipment on a long-term basis (photocopiers) and for short-term periods arising from operational requirements (such as the presence of teams of experts) and the ongoing maintenance

of equipment, including photocopiers, fax machines and computers. Increases in 1997 arise particularly from maintenance requirements for data processing equipment; and

(c) Amounts of $20,000 in 1996 and $20,800 in 1997 are requested to cover miscellaneous expenses, such as local freight costs, internal office moves and transport.

*Supplies and materials*

58. Amounts of $125,000 in 1996 and $119,400 in 1997 are requested to cover the cost of all secretariat supplies and materials. This includes:

(a) Amounts of $70,000 in 1996 and $72,800 in 1997 for office and internal reproduction supplies;

(b) Amounts of $35,000 in 1996 and $25,800 in 1997 for library acquisitions and subscriptions, which are higher in 1996 owing to the start-up of the library; and

(c) Amounts of $20,000 in 1996 and $20,800 in 1997 for data processing supplies.

*Furniture and equipment*

59. Amounts of $117,000 in 1996 and $90,000 in 1997 are requested to cover the purchase of office automation equipment for new staff, replacing old equipment (on a cycle of 3-5 years, depending on the equipment in question), and to enhance the information system applications to cover different needs. These include:

(a) Amounts of $30,000 in 1996 and $27,000 in 1997 to cover basic personal computer equipment for new staff members in each year;

(b) Amounts of $57,000 in 1996 and $33,000 in 1997 to purchase new equipment for use by the secretariat as a whole:

- a database server. (This is required as the advanced database software that will be installed in 1996 will use its own, dedicated server.)
- a Workgroup Server, housing the Lotus Notes applications
- two fast network printers to complete the office installations
- a colour printer for presentations, graphics and other special tasks
- laptop computers (3 in 1996 and 2 in 1997)

(c) Amounts of $30,000 in 1996 and $30,000 in 1997 to purchase miscellaneous equipment to assure smooth functioning of existing applications, and to start some new ones (for example, networked faxing system, networked CD-ROM facility, modems, communications routers and application cards).

*Other expenditures*

60. Amounts of $56,400 in 1996 and $58,600 in 1997 are requested to cover the costs associated with office accommodation, including utilities, cleaning and insurance. (Rent costs have been assumed to be zero; this will have to be reflected in the figures shown for contributions from the host Government in case rent is actually charged but covered by a corresponding grant.)

*Resource requirements (at current rates)*
*Other voluntary funding*

*Staff costs*

61. Contributions to other voluntary funding of $161,800 in 1996 and $166,100 in 1997 are requested to cover the costs associated with salary and common staff costs of one information system staff member.

*Contractual services*

62. Contributions to other voluntary funding of $95,000 in 1996 and $95,000 in 1997 are requested to cover the costs associated with the preparation and distribution of the Climate Convention Archives (CD-ROM) and the accompanying Climate Convention Handbook. This work will be done in large part under contract, as there is no need to set up such facilities at the secretariat. Provision of all Committee and COP documents, as well as national communications, and various other climate-change related information on one single CD-ROM is the optimal way of disseminating large amounts of information broadly in user-friendly formats; it is cheaper than printing and mailing. The sale of the CD-ROM on a commercial basis will be explored, in addition to a basic distribution to Parties.

## 4. Implementation and planning

TABLE 16. SUMMARY OF 1996-1997 ESTIMATES BY OBJECT OF EXPENDITURE
*(Thousands of United States dollars)*

| *Object of expenditure* | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| Staff costs | 383.7 | 397.2 | - | - |
| Consultants | 20.0 | 20.8 | - | - |
| Travel on official business | 21.6 | 23.5 | - | - |
| **TOTAL** | **425.3** | **441.5** | - | - |

TABLE 17. STAFF REQUIREMENTS

| | Core administrative budget | | Other voluntary funding | |
|---|---|---|---|---|
| | 1996 | 1997 | 1996 | 1997 |
| A. Professional category and above | | | | |
| D1 | 1 | 1 | - | - |
| P3 | 1 | 1 | - | - |
| **Total (A)** | **2** | **2** | - | - |
| B. General Service category | 1 | 1 | - | - |
| **Total (B)** | **1** | **1** | - | - |
| **TOTAL (A+B)** | **3** | **3** | - | - |

63. Implementation and planning activities will focus on:

(a) Mobilizing and coordinating the secretariat's provision of support to the SBI, drawing on the other units of the secretariat and on outside expertise as necessary;

(b) Mobilizing and coordinating the secretariat's provision of support to any process of follow-up to the review of Article 4.2(a) and (b), drawing on the other units of the secretariat and on outside expertise as necessary;

(c) Serving as the secretariat focal point for the Commission on Sustainable Development's 1996 review of Chapter 9 of Agenda 21 ("Atmosphere");

(d) Developing the secretariat work plan and undertaking programme planning.

(e) Preparing reports of a general nature to the COP and the SBI, notably the report on implementation, and coordinating any secretariat activity in support of the work of the COP under Article 7.2(a) of the Convention; and

(f) Undertaking special assignments, particularly in coordinating support for the COP and other secretariat activities.

*Resource requirements (at current rates)*

*Staff costs*

64. Amounts of $383,700 in 1996 and $397,200 in 1997 are requested to cover the salaries and common staff costs of the associated staff. Details on staff functions and grades are found in appendix II to this document.

*Consultants*

65. Amounts of $20,000 in 1996 and $20,800 in 1997 are requested to meet requirements for specialized advice and conceptual development on matters such as the follow-up to the review of the adequacy of Article 4.2(a) and (b), institutional arrangements, the organization of the secretariat and its linkages to partner organizations, the evaluation of Convention institutions and processes, and the implementation of the Convention. Any consulting requirements of the head of the secretariat would be covered from this budget. The level of resources requested assumes a requirement to support follow-up to the review of the adequacy of Article 4.2(a) and (b).

*Travel on official business*

66. Amounts of $21,600 in 1996 and $23,500 in 1997 are requested to cover travel expenses, including travel to United Nations headquarters and to represent the secretariat at meetings, conferences and consultations.

## D. CONTRIBUTIONS THAT REDUCE THE CORE ADMINISTRATIVE BUDGET

67. A number of financial credits can be anticipated that would reduce the core administrative budget. Most of the Governments offering to host the secretariat have offered substantial amounts in contributions to support the secretariat. It will be possible to quantify this amount more precisely once the decision on the physical location of the secretariat has been taken.

68. A number of Governments are currently providing staff to the interim secretariat. These existing bilateral arrangements, and one that may be finalized shortly, will continue into the 1996-1997 biennium. Other similar arrangements can be anticipated, but not quantified, for the future. Such contributions would be in addition to a Party's contributions to the core administrative budget in accordance with the indicative scale.

69. The Secretary-General of WMO has offered to provide and finance staff for the secretariat beyond 1995, if so requested and subject to approval by the Twelfth Meteorological Congress of the WMO budget for 1996-1999. The proposed WMO budget for that four-year period includes provision for the secondment of one P-5 and one General Service staff as well as additional temporary GS-staff assistance of 48 work/months to the Convention secretariat.

70. UNEP has offered to continue to provide public information support to the secretariat through the IUCC and its successor arrangement, which will also support other convention secretariats. The estimated current value of this support (costs the budget would otherwise have to assume), is approximately $300,000 per year. The secretariat will keep the evolution of this arrangement under review, to ensure that it continues to meet the needs of the Convention.

71. The Convention must pay an overhead charge to the organization providing administrative services. It is envisaged that the staff costs of the secretariat administrative unit, amounting to $474,100 in 1996 and $487,200 in 1997, will be recovered from this payment and allotted to the Convention. This is, however, subject to negotiation and agreement with the said organization.

## E. WORKING CAPITAL RESERVE

72. In accordance with the recommended financial procedures for the COP (see A/AC.237/91/Add.1, conclusion (k), para. 14), the budget provides for a working capital reserve. The purpose of the reserve is to ensure continuity of operations in the event of a temporary shortfall of cash. It is not a contingency fund or a reserve for operational activities. In the light of the indicative nature of contributions, and of the lack of any penalty clause in the event of late arrival or non-arrival of contributions, a working capital reserve will be essential to ensure the continuous functioning of the Convention process and its secretariat.

73. The working capital reserve is to be maintained at a level to be determined from time to time by the COP by consensus. A level of approximately 30 per cent of the net core administrative budget is proposed; this would be constituted initially by two instalments of 15 per cent of the net core administrative budget for 1996 and 1997 and adjusted as needed in the next biennium. Drawdowns from the reserve would be restored from regular contributions to the core administrative budget as soon as possible.

74. Amounts of $1,248,200 in 1996 and $1,431,600 in 1997 are included in the budget in order to constitute the working capital reserve.

## Appendix I

## STANDARD FIGURES USED IN CALCULATING STAFF COSTS

| Level | 1996 | 1997 |
|---|---|---|
| D2 | 190.4 | 195.3 |
| D1 | 173.0 | 181.1 |
| P5 | 161.8 | 166.1 |
| P4 | 141.9 | 145.5 |
| P3 | 119.2 | 122.2 |
| P2 | 96.0 | 98.5 |
| GS | 91.5 | 93.9 |

Note These are standard United Nations figures used in the United Nations programme budget for 1996-1997, taking Geneva as duty station since it is the location of the interim secretariat. They include salaries as well as common staff costs (benefits and entitlements estimated at 32 per cent of net salary plus post adjustment) and assume an exchange rate of US$1 = SFr 1.32. Different duty stations would have different staff costs, but comparable figures are not currently available for three other cities offered as locations for the secretariat. On the basis of an initial assessment it appears that the salary costs would be lower in the three other cities. However, the common staff costs would be higher at those three duty stations. Different elements of non-staff costs would vary in different directions according to location, with travel costs being sensitive on this account. A comprehensive comparison of all costs in the four locations would require detailed estimates of a number of cost factors.

## Appendix II

## PROPOSED STAFFING OF THE SECRETARIAT IN 1996-1997

### A. Core administrative budget

**Office of the head of the secretariat** (staff: 1996 - 5; 1997 - 5)

1. The office of the head of the secretariat comprises:

(a) The head of the secretariat, whose level and term of office are to be fixed by COP 1. Pending that determination, budgetary calculations have been made on the basis of the costs for a D-2 post. (See paragraph 12 for description of responsibilities),

(b) The special assistant to the head of the secretariat (P-4) who is responsible for managing the office of the head of the secretariat and its systems for secretariat correspondence, filing and the approval of documents, supervising General Service staff, coordinating the internal information flow and assigning responsibility for follow-up action, drafting correspondence, reports and documents, reviewing documents for the head, and acting as a link with the Bureau on behalf of the head,

(c) The personal secretary to the head (GS), and

(d) Two General Service staff (GS) both of whom perform general secretarial duties and provide support to the personal secretary, with one having clerical duties (for example, responsibility for all secretariat travel arrangements) and one being responsible for the logging, distribution and tracking of correspondence and for the central registry system.

**Communication, assessment and review** (staff: 1996 - 16; 1997 - 20)

2. The communication, assessment and review division comprises:

Direction and management

(a) A director (D-2) accountable to the head of the secretariat for successfully implementing the work programme of the division, for the effective management of the associated budget, and for supervision of the proposed staff of 19. The proposed level reflects the scope of responsibilities and the size of the staff and budget. The director would have three principal orientations in addition to managing the unit and providing direction to the staff:

- overseeing the review of national communications
- planning for and organizing the substantive inputs to the SBSTA, including inputs from other divisions and units, and advising the SBSTA officers

- dealing with high priority and sensitive political issues involving Governments and organizations, such as the IPCC

(b) A junior professional officer (P-2) to provide organizational and managerial support to the director, in particular with respect to the functioning of the SBSTA and the organization of technical panels and the preparation of correspondence and reports; extra support would also be provided to other units during start-up and peak-load periods;

Communication and review

(c) A coordinator (P-5) responsible to the director for the management of the processes related to the national communications, including guidelines for their preparation, distribution, translation of summaries, coordination of in-depth reviews and finalization of review reports and the preparation of compilation and synthesis documents, and who would also participate in a limited number of key reviews. The coordinator would work in close contact with the director. (Guidelines for the preparation of communications by non-Annex I Parties are excluded from these responsibilities at this time, see paragraph 2 (j) below );

(d) Two programme officers (P-4) responsible for coordinating most of the individual in-depth reviews (including preparations, recommendation of team members, any visit logistics), for chapters of the compilation and syntheses (including coordinating the work of any experts) and for other assigned tasks (for example, relating to guidelines, distribution, translation);

(e) Three programme officers (P-3), one beginning in September 1996 and one in January 1997, responsible for assisting with the preparation for, and organization of, in-depth reviews, the coordination of reviews of the less complex communications, the drafting of sections of compilation and synthesis documents, the maintenance of databases and other assigned tasks;

Scientific outreach

(f) A principal scientific adviser (P-5) responsible to the director for the assessment and synthesis of scientific information, advising on scientific, research and education programmes, preparing and overseeing the preparation of documents, advising the secretariat on scientific and technical matters, and for liaison and outreach activities, including liaison with the IPCC secretariat, WMO and the World Climate Programme. (It is anticipated that this position will be staffed by WMO; see paragraph 69 above);

(g) A scientific officer (P-2), beginning in September 1997, to support the work of the senior programme officer, particularly with regard to reviewing scientific literature and assisting in document preparation as the activities of the SBSTA intensify;

Methodologies and technologies

(h) A principal officer (D-1) responsible to the director for advising on methodological issues, technology identification and dissemination, preparing or overseeing the preparation of

documents, and close liaison with partner organizations. A D-1 level is proposed because of the rapidly-developing and sensitive nature of the work on technology. (This position may be staffed by a senior officer available for secondment at that level by a Government);

(i) A programme officer (P-3), beginning in January 1997, to support the work of the principal officer in implementing the SBSTA's work programme on methodologies and technologies, as the activities of the SBSTA intensify, with particular responsibility for the inventory methodology and the associated management of the inventory database;

Policy development

(j) A principal officer (D-1) responsible to the director for policy advice on new concepts and approaches and on specific politically-sensitive issues relating to the implementation of the Convention (including Article 4, paras. 6-10) with initial emphasis on communications from non-Annex I Parties, including drawing up guidelines for their preparation and developing proposals for their consideration. A D-1 level is proposed because of the high-level of sensitivity associated with this issue and the need for a senior-level official experienced in national policy development; and

(k) A programme officer (P-4) responsible for supporting the development of the multilateral consultative process under Article 13, including the ad hoc working group, and for assignments in support of the principal officer.

3. The division requires six General Service staff, one of whom would begin in January 1997, one would have data entry tasks. (It is expected that two of these staff will be financed by WMO, see paragraph 69 above).

**Financial and technical cooperation** (staff: 1996 - 7 + 5*; 1997 - 10 + 6*)

4. The financial and technical cooperation division comprises:

Direction and management

(a) A director (D-2) accountable to the head of the secretariat for successfully implementing the work programme of the division, for the effective management of the associated budget, including the voluntary fund, for ensuring that CC:COPE is supportive of the policies and priorities defined by the financial mechanism and for supervision of the proposed staff of 15. A D-2 level is proposed because of the level of responsibility with regard to the financial mechanism, interactions with the GEF secretariat and implementing agencies, participation in GEFOP and relations with bilateral and multilateral finance and development cooperation institutions. In addition, the director would give high priority to the operationalization of any COP decisions on cooperative activities (see paragraph 27 (c) above), a new and sensitive area with potentially great scope and extensive high-level interactions, which would be a high priority;

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* Other voluntary funding.

Financial mechanism

(b) A senior programme officer (P-5) responsible to the director for advising on, and developing documentation relating to, guidance on policies, programme priorities and eligibility criteria and the arrangements for replenishment of the GEF in the context of the role of the COP under Article 11.3, for supporting the director's participation in GEFOP, for the review of reports from the GEF, and for the preparation of documents relating to other issues concerning the financial mechanism, including consultations with the GEF secretariat;

(c) A programme officer (P-3), beginning in January 1997, who would assist the senior programme officer in response to the increasing depth of the relationship with the GEF and the operation of the financial mechanism, including the review of climate change project documents and the analysis of information from the multilateral development banks;

(d) A junior professional officer (P-2) to support the unit through research, analysis, drafting of documents and coordination of arrangements for meetings;

Facilitation of technical and financial support

(e) A principal officer (D-1) responsible to the director for the coordination of the work of the Convention secretariat on facilitating technical and financial support, including the operation of the CC:COPE consultative mechanism, for providing input to GEFOP, for overseeing the CC:INFO programme and for providing functional direction to CC:TRAIN. A D-1 level post is proposed on account of the important responsibilities for supervision and coordination, including coordination of the activities of other organizations;

Cooperative activities

(f) A senior programme officer (P-5) to support the director in implementing COP decisions on cooperative activities, in preparing policy documents and undertaking working-level consultations; and

(g) A programme officer (P-3), beginning in 1997, responsible for work of a more operational nature (for example, monitoring of criteria for a pilot phase as may be decided by the COP, compilation and synthesis of reports) that could be required as the cooperative activities develop and expand.

5. The division would require three General Service staff, one of whom would begin in January 1997.

**Intergovernmental and institutional support** (staff: 1996 - 19 + 1*; 1997 - 19 + 1*)

6. The intergovernmental and institutional support unit comprises:

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* Other voluntary funding.

Direction and management

(a) A principal officer (D-1) accountable to the head of the secretariat for the provision of the services referred to in paragraph 43 above, for the effective management of the relevant budget, for the development and maintenance of a system of national and organizational focal points, for inter-agency relations, for the overall management of the support to intergovernmental process, including arrangements for funding the participation of delegates at the sessions of the COP and the subsidiary bodies, and for the supervision of the proposed staff of 19. The principal officer would have extensive contacts with senior officials of the United Nations on administrative and budgetary matters, with representatives of the host Government on matters relating to facilities, with the representatives of Governments hosting sessions of the COP or the subsidiary bodies, and with representatives of missions and delegations;

(b) A legal adviser (P-5) responsible for the provision of legal advice on the Convention to the secretariat, for liaison with counterparts in the secretariats of other conventions and the Legal Office of the United Nations, for the preparation of documents for the COP and the subsidiary bodies on issues of a legal character, and for assigned tasks of a general policy nature;

Conference management and external relations

(c) A senior conference manager (P-5) responsible to the principal officer for the technical arrangements for sessions of the COP and the subsidiary bodies, including arrangements for document editing and submission for translation and reproduction, hiring of temporary assistance for meetings, the facilities arrangements, registration and participation of delegates and observers (including non-governmental organizations), accreditation of journalists, liaison with the conference services and protocol office of the United Nations and with Governments hosting meetings, and general conference planning and scheduling. The conference manager would serve as the secretary of the COP and of the subsidiary bodies;

(d) An external relations officer (P-3) to manage the system of national focal points, serve as the principal point of contact with delegations and missions and with observer Governments and organizations and respond to their enquiries, coordinate the process of funding of participation in the COP and the subsidiary bodies, and operate a targeted document distribution network in conjunction with the Convention library;

Information system

(e) A system manager (P-4) responsible for the ongoing management of the computer and communications system (including the direct supervision of three staff undertaking hardware and software support and database development tasks) and requiring extensive technical knowledge;

(f) A librarian (P-3) to run the library, documentation and reference centre, establish cooperation with a number of other organizations to ensure coordinated activities, including the United Nations Library, UNEP and the International Union for the Conservation of Nature and

Natural Resources, respond to enquiries for information from Governments and from the general public, and assist researchers in finding relevant material;

(g) A database officer (P-3) to meet the increasing demand for improving existing, and developing new, database applications needed for various secretariat activities, most notably within communication and review (analytical database, policies and measures database, inventory database) and the financial and technical cooperation division (CC:INFO databases, as well as expected database developments, depending on COP decisions related to technology transfer and cooperative activities). Such specialized applications are not available off-the-shelf, and their in-house development and management is less costly and more responsive to programme needs than through outside consultancy or contractual arrangements;

(h) Two support officers (P-2) to maintain the computer hardware and to provide continuous software support, including training. Training is an ongoing task, including basic training and refresher courses in general software for all staff, as well as specific, advanced training on demand, for some staff. The relatively sophisticated information system infrastructure on which the secretariat depends to serve the Convention process requires regular maintenance and support to users, including support to outside users; and

Administration

(j) An executive officer (P-5) accountable to the principal officer for the supervision of the administrative unit and to the head of the secretariat for the performance of functions in support of the delegated responsibilities of the latter. The head of the unit will have to exercise a high level of responsibility and command a wide range of administrative skills, in order to interact productively with the department or Programme providing administrative services, and with other organizations and Governments contributing resources to the secretariat.

7. The division would require nine general service staff. Two of these would have largely secretarial responsibilities; two would have data entry, information management and electronic communication responsibilities; two would serve as meeting assistants responsible for organizing registration and accreditation and other arrangements for meetings, as well as being responsible for documents submission; two would have administrative responsibilities and one would have clerical and messenger tasks. The last three would be part of the administrative unit.

**Implementation and planning** (staff: 1996 - 3; 1997 - 3)

8. The implementation and planning unit comprises:

(a) A coordinator (D-1), accountable to the head of the secretariat and working in close relation with that person, to mobilize and coordinate secretariat support to the SBI and any process following-up on the review of the adequacy of Article 4.2(a) and (b), including: serving as the secretariat focal point for the SBI and advising the SBI officers; arranging secretariat planning activities; coordinating the preparation of reports (the report on implementation and any

reviews under Article 7.2(e)); and carrying out special assignments in support of the head of the secretariat, especially with regard to COP;

(b) A programme officer (P-3) to support the coordinator in organizing the work of the SBI, arranging inputs to the SBI, drafting documents and reports, and assisting with planning activities; and

(c) A secretary (GS).

## B. Other voluntary funding

Facilitation of technical and financial support

9. The CC:INFO programme comprises:

(a) A programme manager (P-4) responsible to the principal officer (facilitation of technical and financial support) for the management of the CC:INFO programme, for establishing links with countries and with supporting organizations, and generally for developing and implementing the CC:INFO programme strategy on an ongoing basis;

b) A programme officer (P-3) to support the programme manager, especially with the day-to-day cooperation with countries (demand) and with the organizations able to provide support (supply), as well as in organizing and reviewing the resulting information flow;

(c) A programme officer (P-2) responsible for the electronic processing of the incoming information, and its dissemination via printed and electronic media; and

(d) Three General Service staff, one beginning in January 1997, responsible for data entry, assisting in the processing of requests for information, and undertaking documentalist functions. Of these, one would also provide general secretarial services.

Information system

10. The information system would also require:

(a) A senior programme officer (P-5) accountable to the principal officer (intergovernmental and institutional support) for coordinating the information system and supervising the service and its staff. The coordinator would also develop and implement an active information outreach programme (including official documents, national communications, and other relevant data and documentation) and internal communication systems. The coordinator would act as a link with other international organizations, such as DPCSD, UNDP and UNEP to ensure that the Convention information system is developed in full coordination with other related efforts within the context of UNDP's sustainable development network, with UNEP's Infoterra and Earthwatch, and within the follow-up to Chapter 40 of Agenda 21 within the CSD context.

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